

# Welcome

## to Delphi Group's BPIS2006

*Business & Process Innovation Summit*

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*Session Title:*

*An Extensible Business Process Approach for  
Managing Institutional Roles & Responsibilities –  
A New Horizon for LLNL*

UCRL-PROC-224641

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# Topics We'll Cover Today

- Why Did We Do It?
  - Business Drivers
  - Innovation
- What Did We Do?
  - Accomplishments
- How Did We Do It?
  - Methodology Overview
  - Process Mapping
- What's Next?
  - Next Steps
  - Lessons Learned

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# Business Drivers

- Clear and consistent Roles & Responsibilities are necessary for compliance requirements and good business practice. Our drivers include:
  - Integrated Safety Management System (ISMS)
    - Version 8, Section 6.2, “Roles and Responsibilities”
  - Integrated Safeguards and Security Management (ISSM)
    - Directorate ISSM LLNL’s Safeguards and Security Program Description and Management Plan January 5, 2006
  - Good Business Practice (Policy and Procedures, Sarbanes/Oxley, etc.)
  - Contractor Assurance System (CAS)

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# Where's the Innovation?

- The mission of a research and development organization such as LLNL is **solutions** – it's why we exist
- The “normal” culture often focuses on the **process** as secondary, rather than a way to develop the best solution
- Orchestrating an innovative, customized approach to process analysis in a climate of organizational change was our challenge
- We were successful! Innovation was catalyzed by putting the brakes on the solution until the business process was fully defined

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# Process Improvement Working Group

- Purpose of the project:
  - To develop and implement appropriate business processes for managing institutional roles and responsibilities
- Process to be developed initially for ES&H based Roles & Responsibilities with the model to be extensible
- The group had a well rounded representation:
  - Assurance Managers
  - CFO
  - Hazards Control:
    - Emergency Preparedness
    - ES&H Teams
    - Safety Programs Human Resources
  - Information & Communication Services
  - Laboratory Training Manager
  - Procurement
  - Safety & Environmental Protection
  - Security
  - Relevant programs (Space Action Team, Energy & Environment, Director's Office, Laboratory Services)

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# Accomplishments

- Developed the “To-Be” Process Model, including business rules and definitions, in only **five** workshops
- Had buy-in and participation of all stakeholders throughout the business model development
- Presented analysis and recommendations to management early September
- Initial Role Governance Board identified by October 1, 2006

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# Methodology Overview

- Identify/Validate R&R Process Issues
- Determine Process Goals and Expectations
- Develop High Level Process Maps
- Determine Process Activity Value
- Review Process Risk
- Validate Business Rules
- Validate Process Against:
  - Process Goals and Expectations
  - Business Requirements and Policies
  - Pain Points
- Review and Prioritize System “Wish List”
- Identify Process Metrics

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# Benefits of Process Improvement Methods

- Process improvement methodology provides the opportunity for people to share in shaping the vision of their organization and helps maintain accountability for success
- Facilitates the identification of an organization's key goals through collaboration, helping to build employees' long term commitment
- Provides the opportunity for stakeholders and team members to contribute directly in a systematic way to how their work will be achieved and in what type of environment
- Provides a standard by which people can weigh decisions, actions, and consequences by creating a common understanding of the purpose of the process, its deliverables to customers and stakeholders, and how to use the process
- Ties the purpose of process with quantifiable results (accurate, regularly measured) for a systematic view of how well it is performing
- Provides an environment that promotes continuous learning (continuous improvement and process management)

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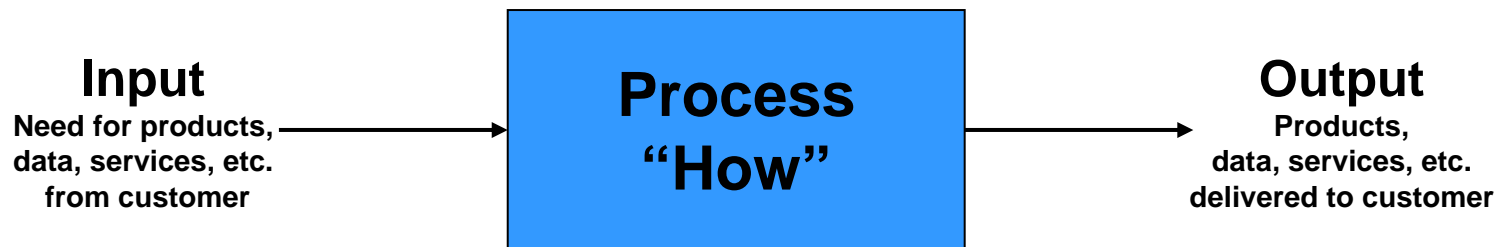
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# Back to Basics: What Is a “Process?”

A process is defined as a series of steps that accomplishes work



**Processes only exist to meet the needs of our customers**

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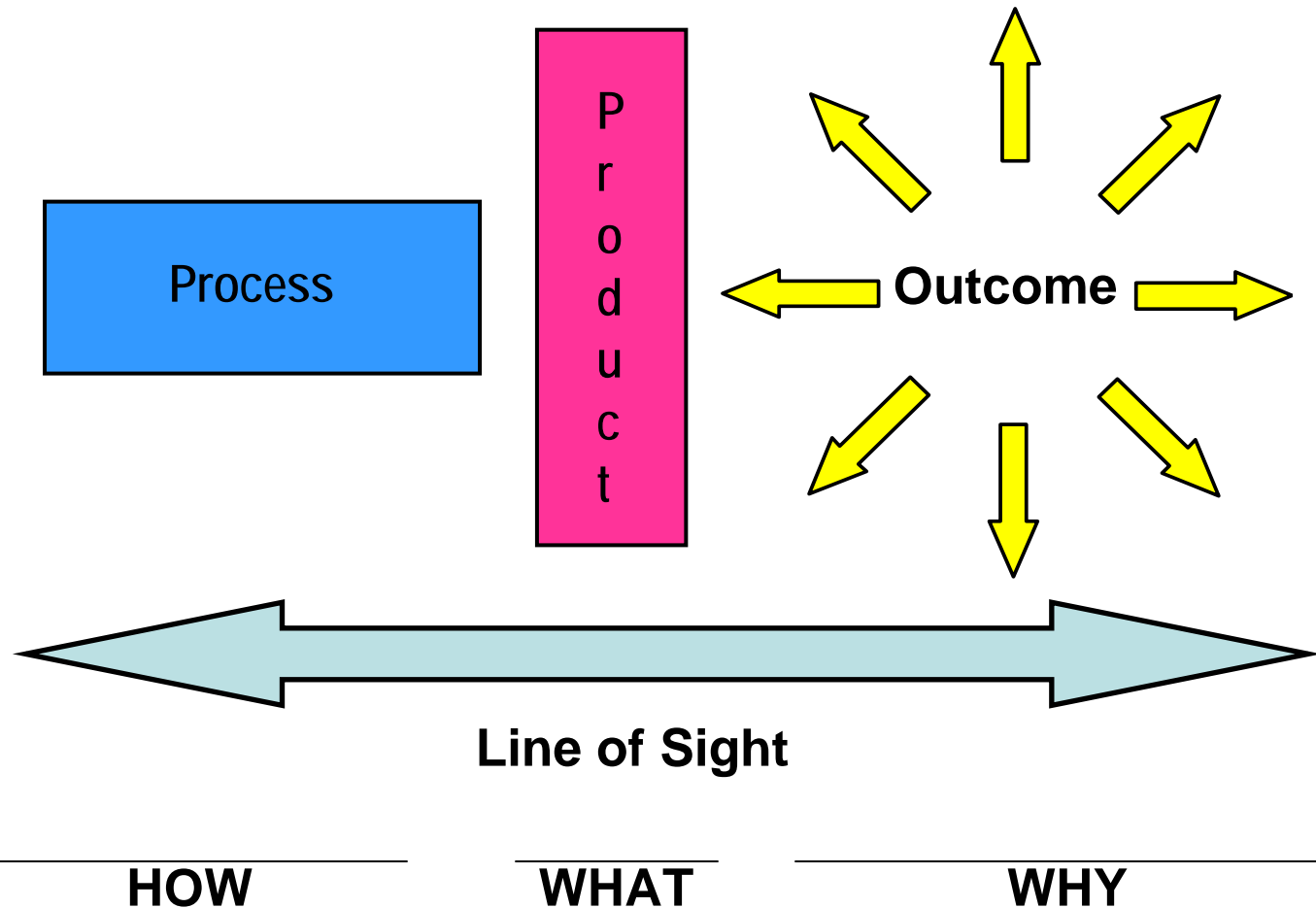
## A “Good” Process Is:

- Customer focused
- Value-adding
- Clearly owned
- Understood by those that operate it
- Well measured
- Continuously improved

**Our goal was to develop the R&R process as a “good” process**

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# A Context for Process Analysis



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# Top Process Improvement Areas from Customer-Stakeholder Interviews

- Visible accountability for role ownership (including role definition)
- Auditable delegation of authority
- Easily add and maintain roles information
- Assurance of data integrity (accuracy) and timeliness
- Ad hoc search/query/report functionality
- Seamless integration with facility data applications (LLNL tracking and DOE tracking systems)

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# Key Process Goals and Expectations

“A satisfying R&R process results in...”

- Single source of accurate information
- Ease of management, use, and maintenance
- Efficiency
- Useful, current, and accessible information
- Seamless integration of information between processes
- “Manageability” (for expansion/changes), with accountable/responsible oversight
- Clearly defined Role Owners and understanding by Role Owners of their accountability
- Appropriate governance (governance body – Management Panel; possible advisory group, as well)
- High level of quality control for data integrity and accuracy
- Appropriate communication/notification

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# Developing the High Level “To-Be” Process

- Consider the successful process goals and expectations
- With these in mind, what are the major elements of an “ideal” process?
- How should they fit together?
- We started developing a high level process based on interview input to date
- We worked online with process mapping software

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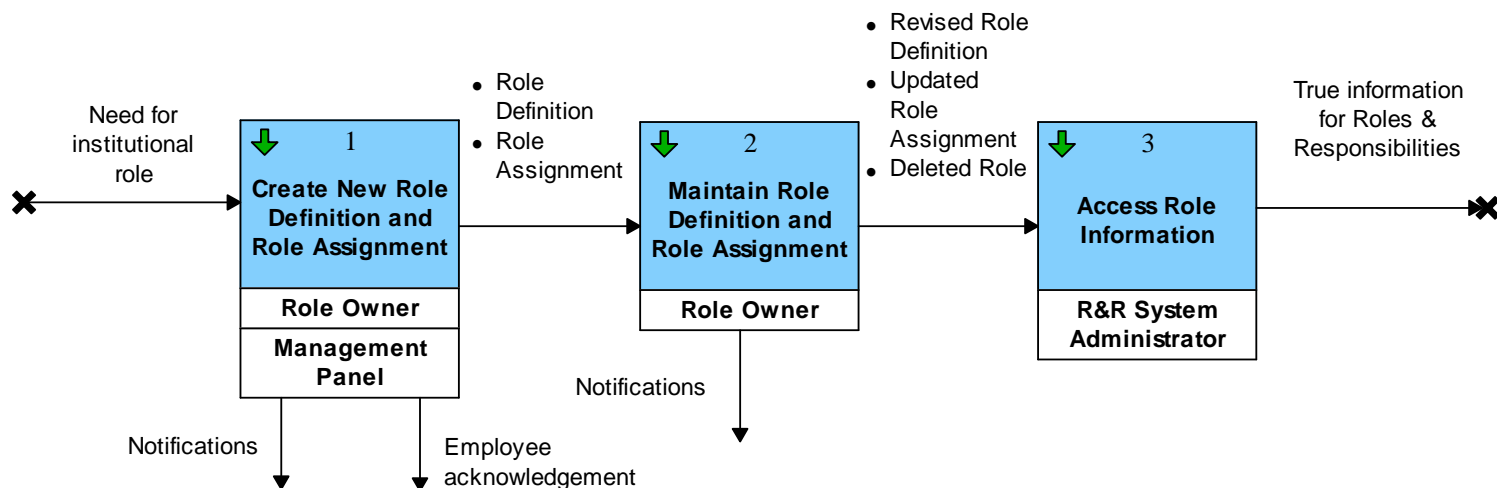
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# Roles & Responsibilities Process Maps



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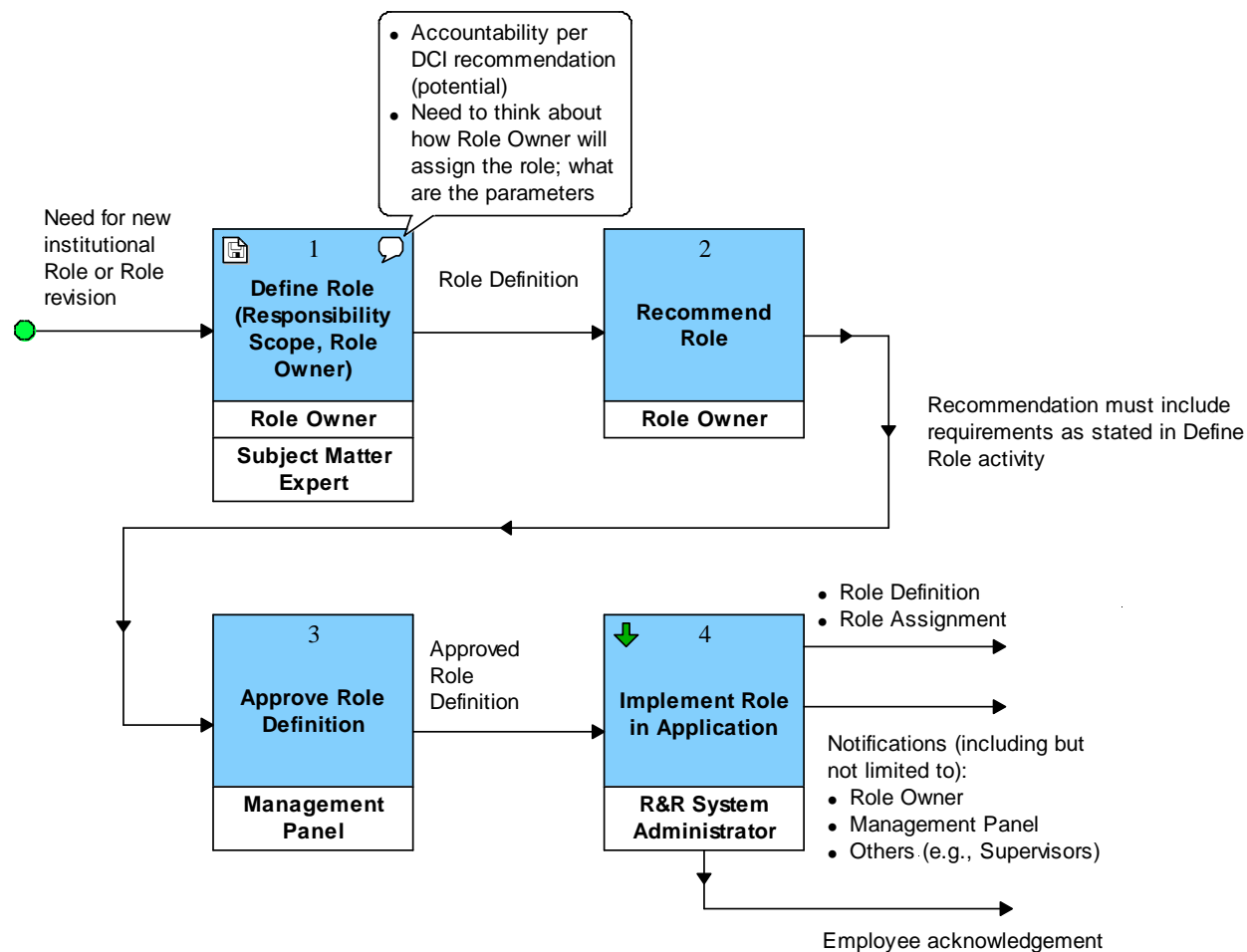
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# Roles & Responsibilities Process Maps



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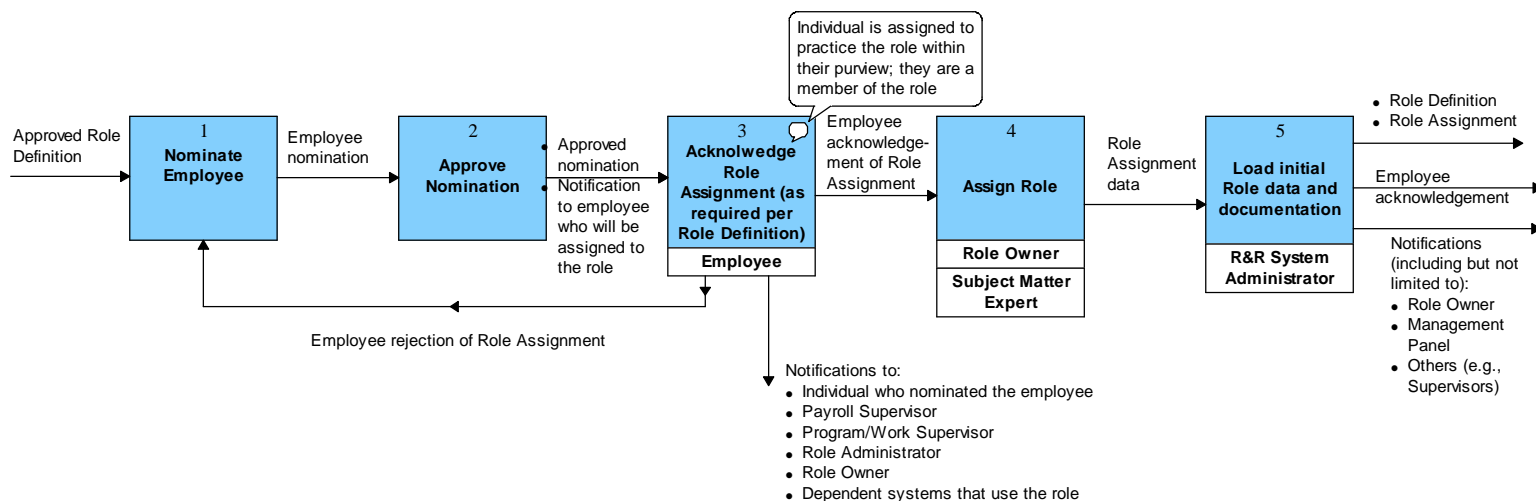
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# Roles & Responsibilities Process Maps



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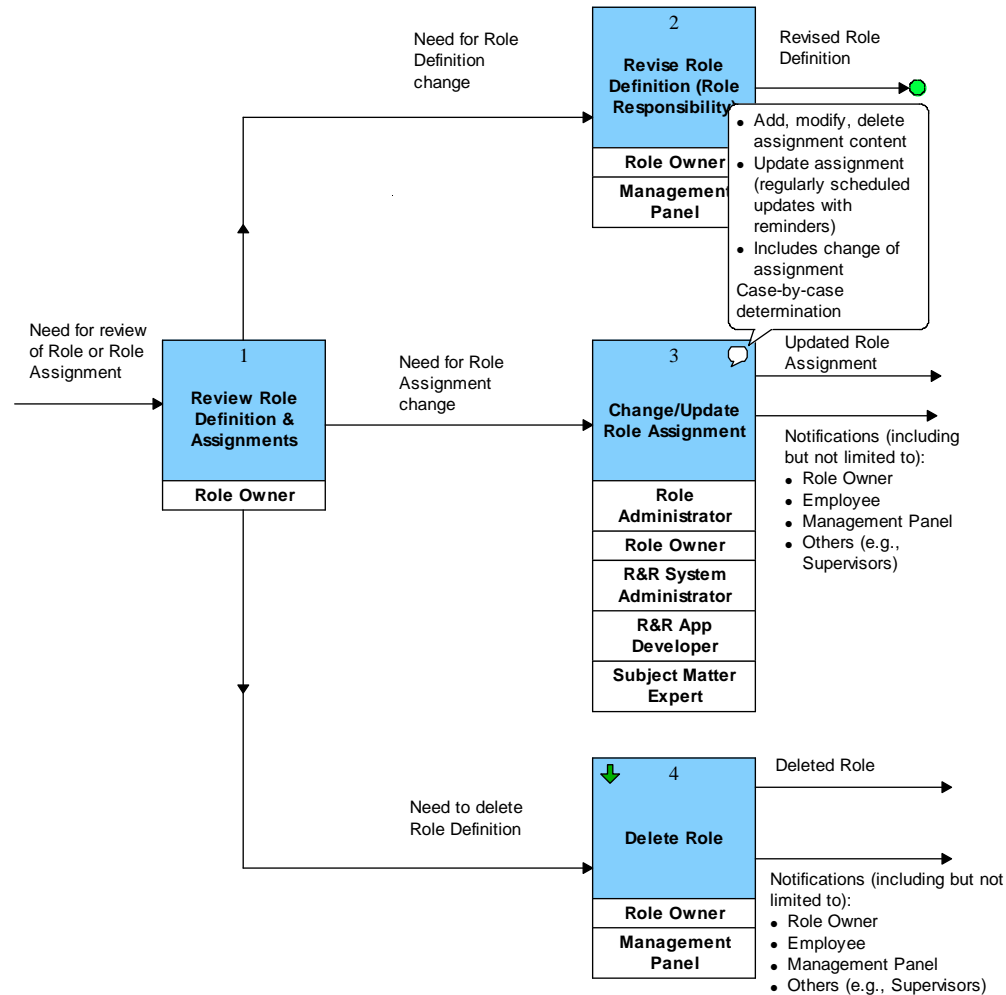
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# Roles & Responsibilities Process Maps



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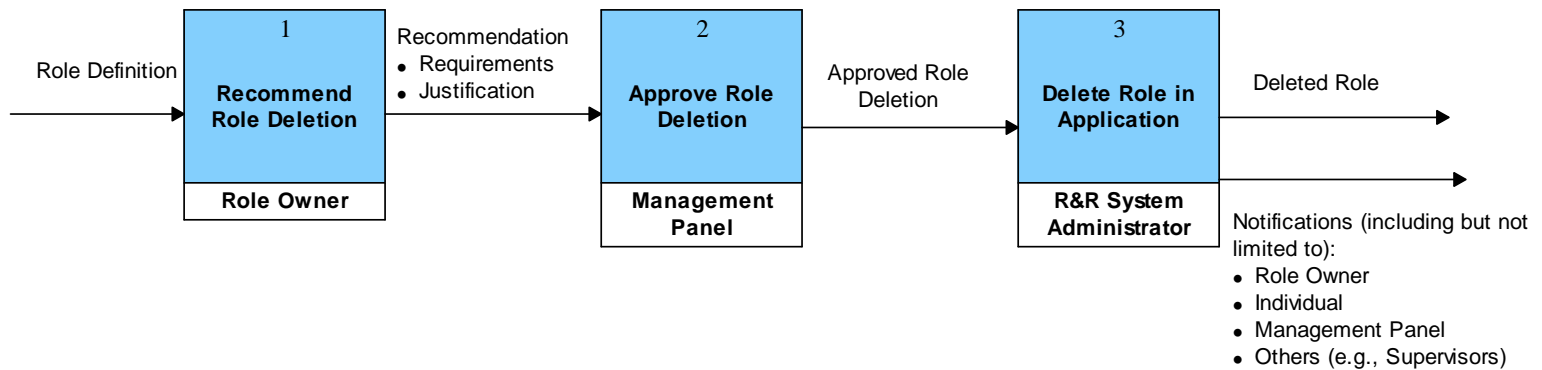
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# Roles & Responsibilities Process Maps



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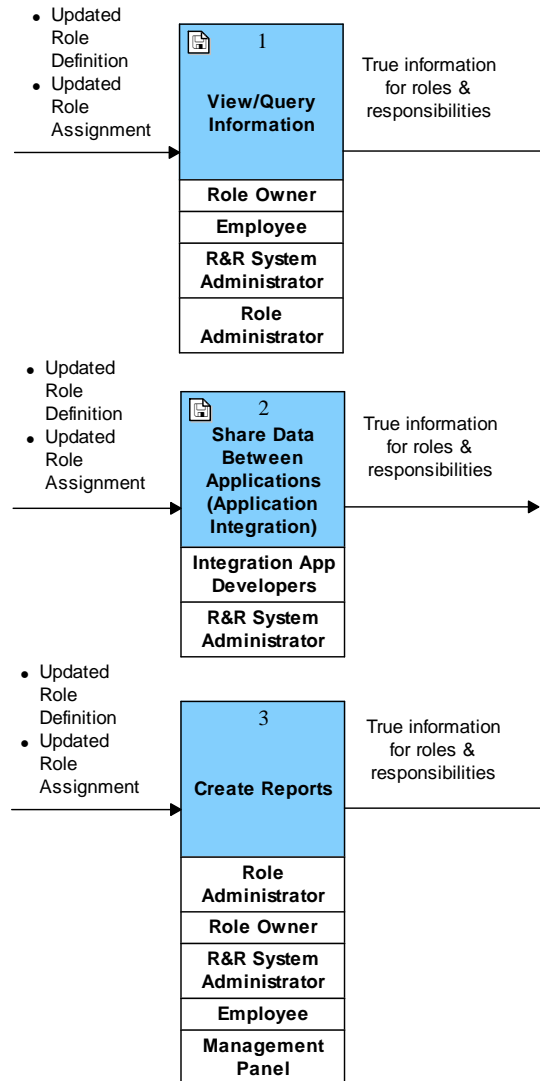
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# Roles & Responsibilities Process Maps



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# The Basis of Value Add Analysis

- Every activity in a process either adds value or cost
- **Real Value Add** is determined firstly from the Customer's perspective
- There may also be **Business Value Add** activities
- Everything else is **Waste**

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# The Seven Wastes

- People moving
- People waiting (delay)
- Materials moving
- Materials waiting (stock, backlog)
- Producing too much
- Correction and re-work
- Duplication and repetition

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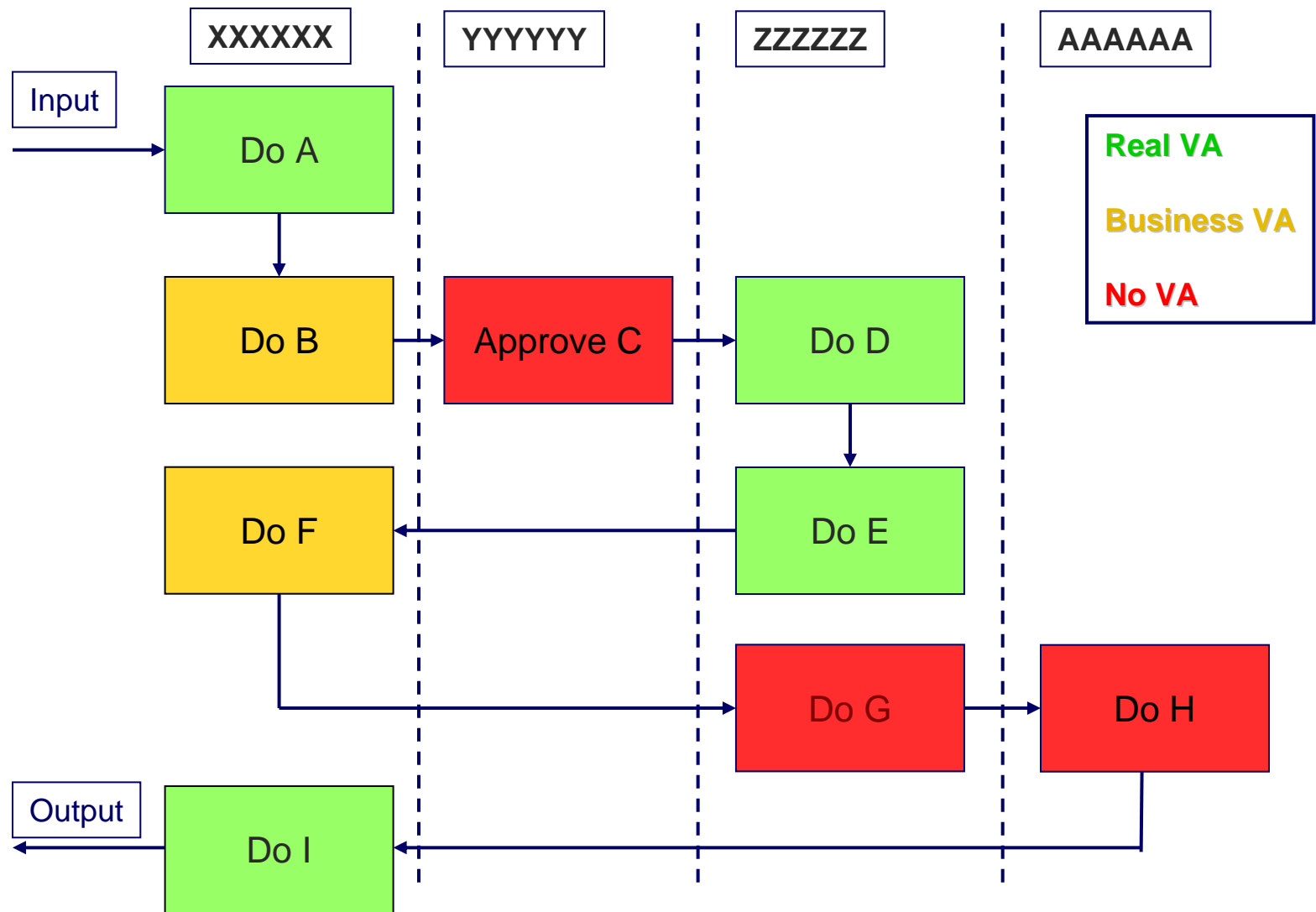
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# Value Add Analysis Process Example



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# Value Add Definitions

## Real Value Add

- Those activities which a customer would expect you to do for them in producing the output
- Does this activity positively impact the outcome?
- Would the outcome be negatively impacted if we did not do this?

## Business Value Add

- Those activities which you have to do in order to...
  - Stay legal
  - Be compliant
  - Manage the organization
- Challenge: “Would we get locked up, shut down, or fined, if we didn’t do this activity?”

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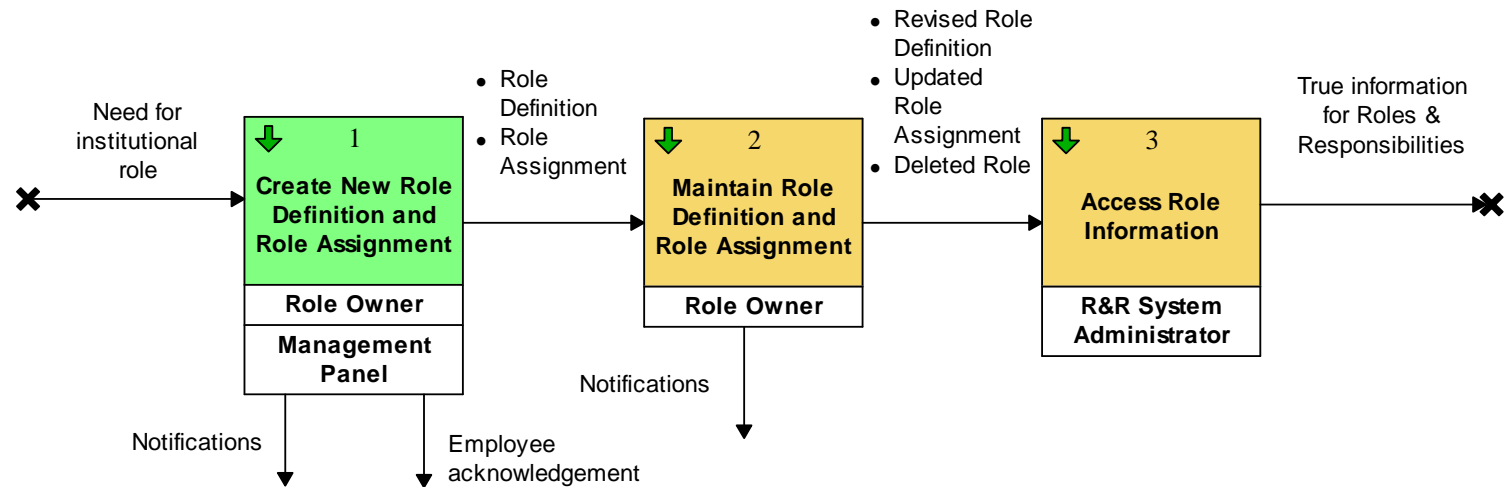
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# Roles & Responsibilities Value Add Maps



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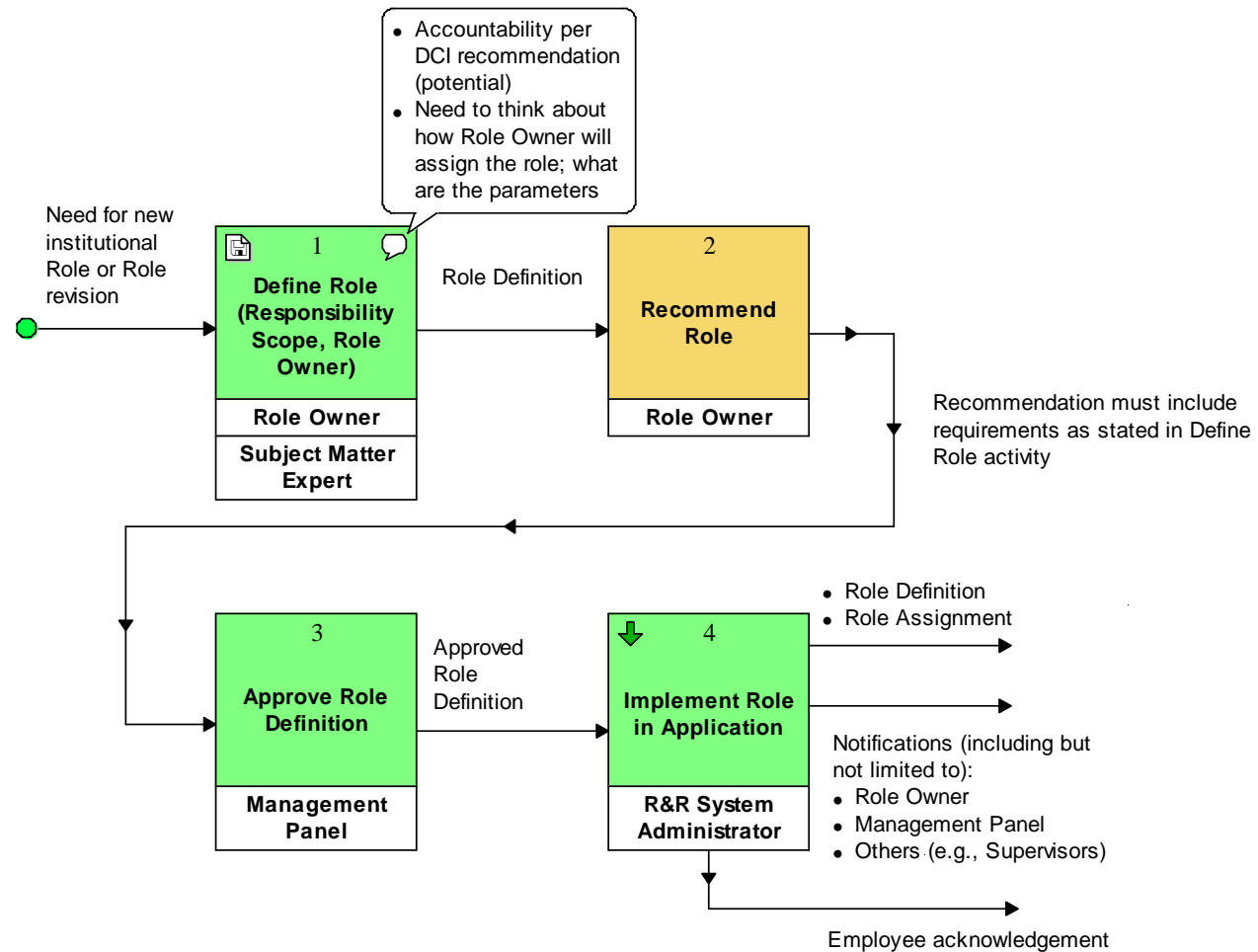
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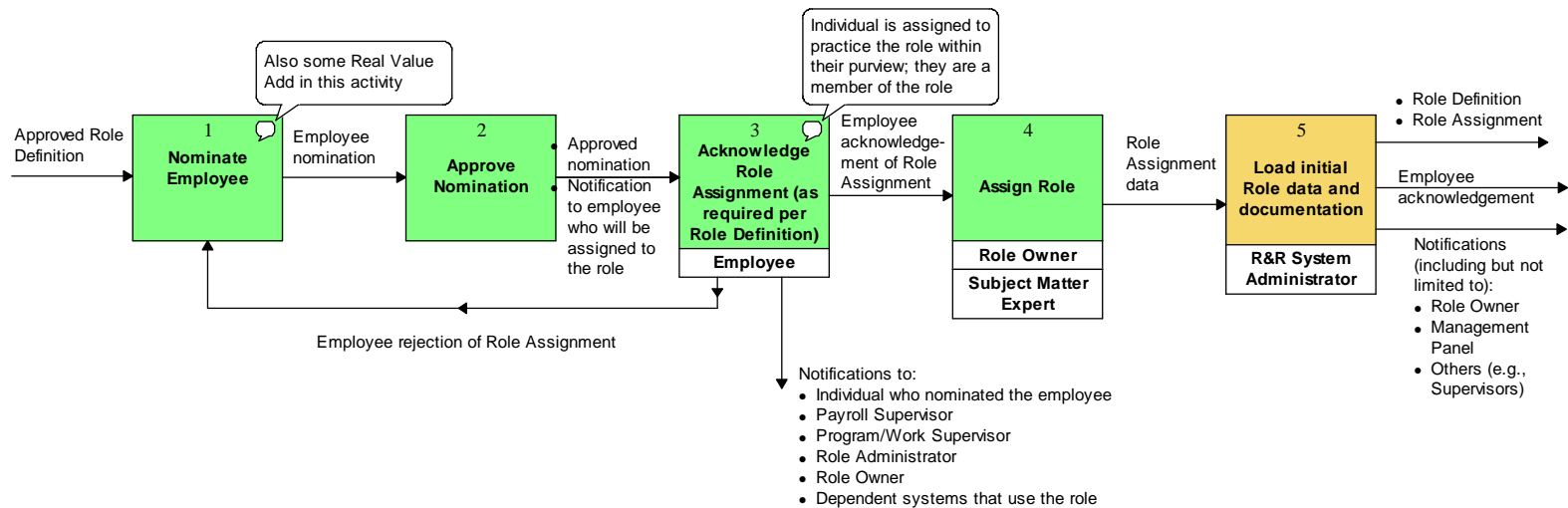
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# Roles & Responsibilities Value Add Maps



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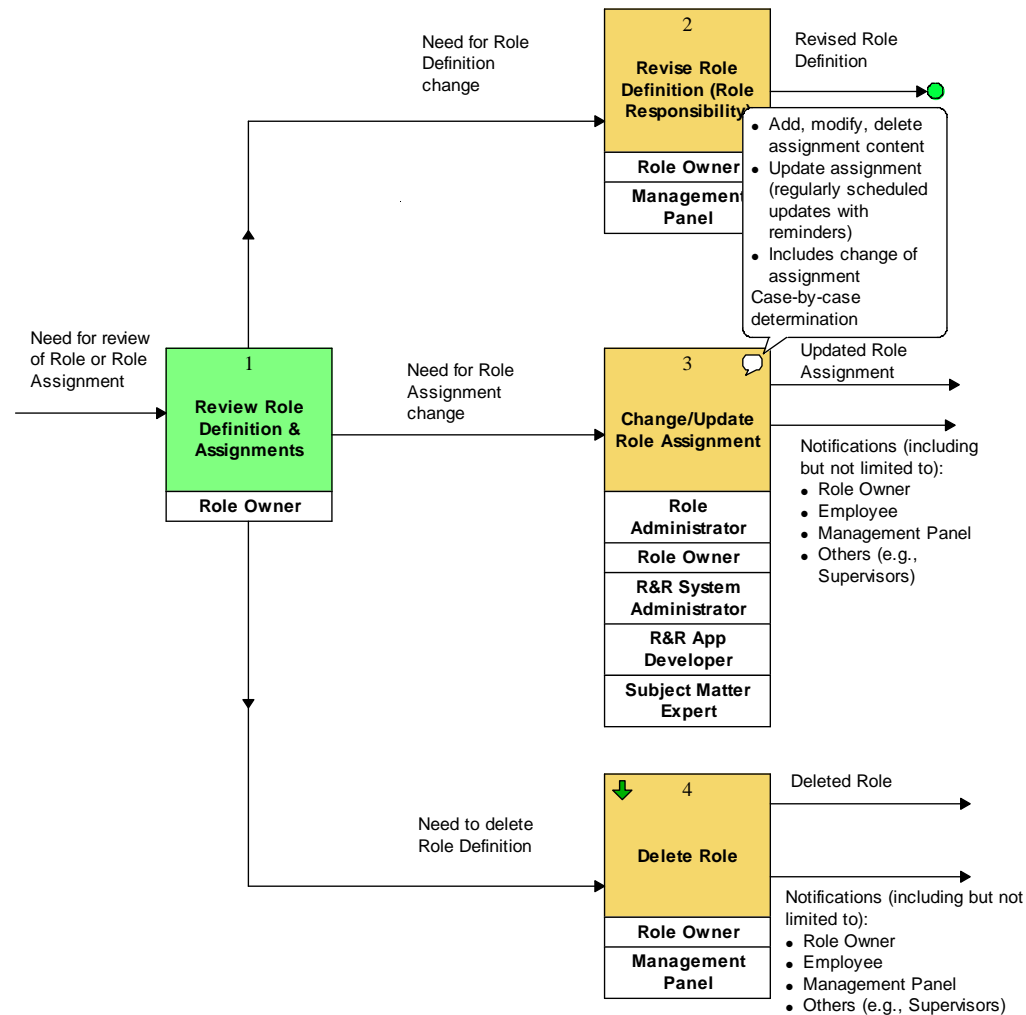
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# Roles & Responsibilities Value Add Maps



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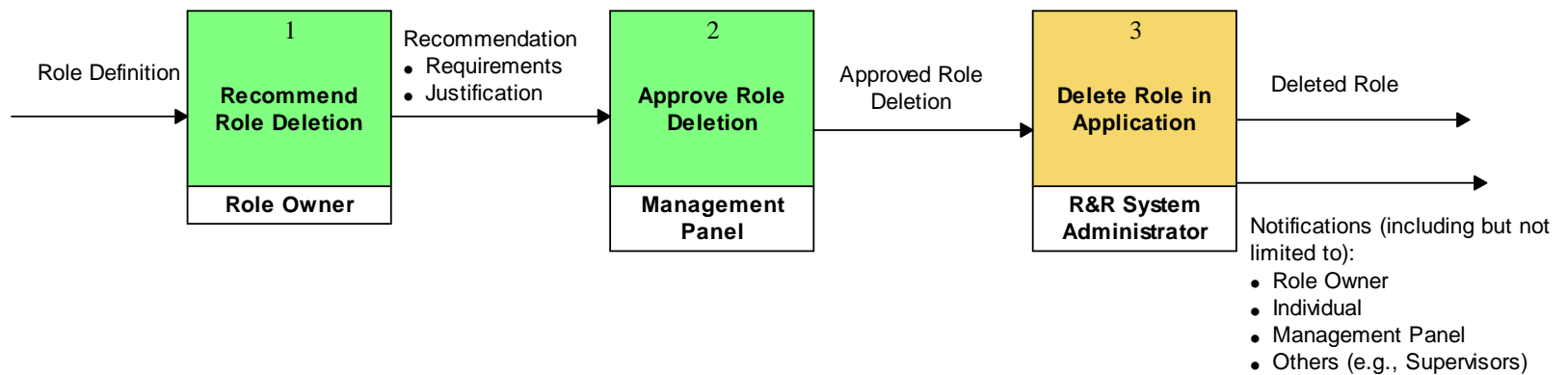
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# Roles & Responsibilities Value Add Maps



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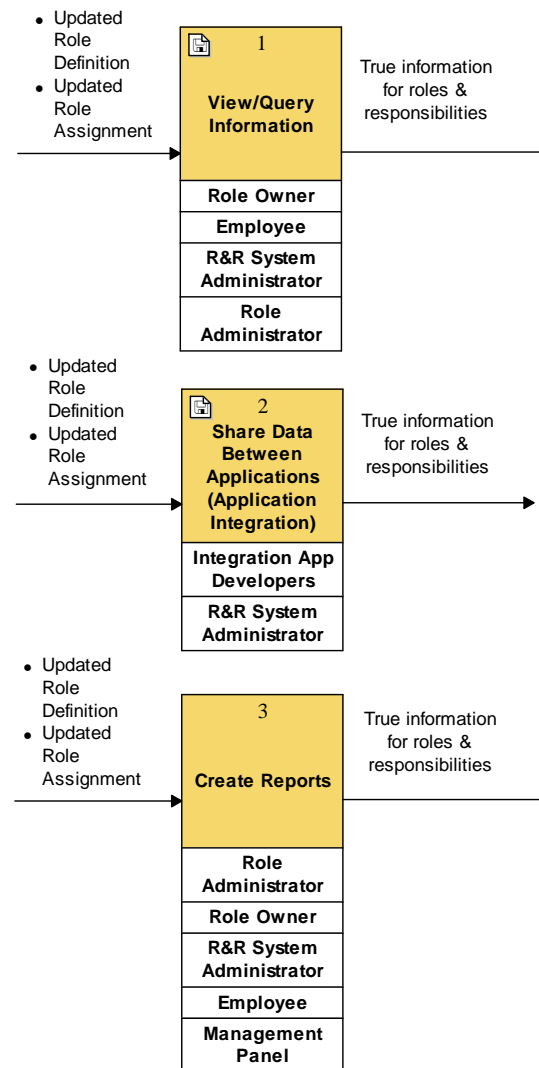
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# Roles & Responsibilities Value Add Maps



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# Roles & Responsibilities Business Rules – Attributes of a Role Definition

- Why does the Role exist
- What is driving the Role
  - Specific reference to policy, order, best practice, business plan
- Scope of the Role (e.g., Institutional, Directorate, Department, Organization/Program)
- Security parameters/clearance level
- Sensitivity of the Role/Role auditability
  - QA/QC of the Role is part of Management Panel responsibility)
- Acceptance required or not required
- Responsibilities (e.g., authorize access)
- Authorities (e.g., within parameters)

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# Roles & Responsibilities Business Rules, continued

- Delegation authority
- Who can view this Role?
- Who can modify membership and under what circumstances?
- Skills, knowledge, and abilities required to do the Role
- Estimated Role population
- Role Owner (responsible for identifying and assigning employees to the Role)
  - Critical element
  - Must include delegation; frequency of change expected, etc.
- Subject Matter Expert for the Role
- Performance measures and performance measurement cycle

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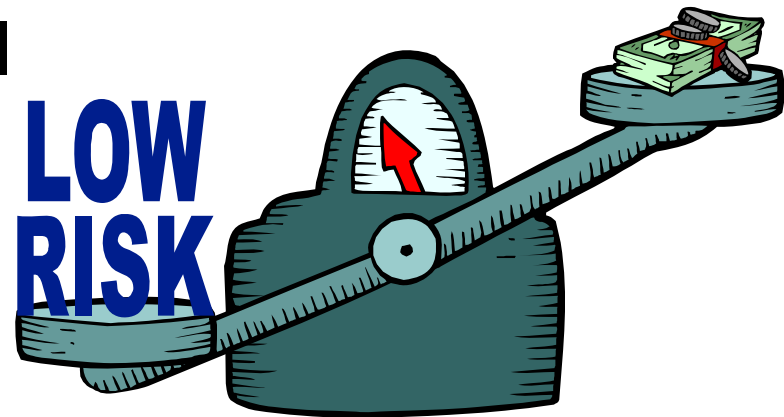
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# Types of Risk

- Product Liability
- Technical
- Business/Financial
- People
- Health & Safety
- Environmental
- Security
- Political



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# Help & Hinder Analysis

What are all the things that will help us implement the process successfully?

What actions can we include in the implementation plan to build on these?

What are all the things that might hinder successful implementation?

What actions can we include in the implementation plan to minimize or eliminate these?

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# Creating Process Measures

- Meaningful, focused, well defined measurements help us keep the process healthy and ensure success
- Methodology:
  - What is important to measure to ensure the health of the process?
  - What is important to measure to ensure the success of the process? (refer back to products and outcomes!)
- Examples:
  - The # of \_\_\_\_\_ measures the degree to which the objectives of the process are achieved.
  - The % of \_\_\_\_\_ measures the degree to which the objectives of the process are achieved.
  - The \$ of, for, or to \_\_\_\_\_ measures the degree to which the objectives of the process are achieved.
  - The seconds, minutes, hours, or days to \_\_\_\_\_ measures the degree to which the objectives of the process are achieved.

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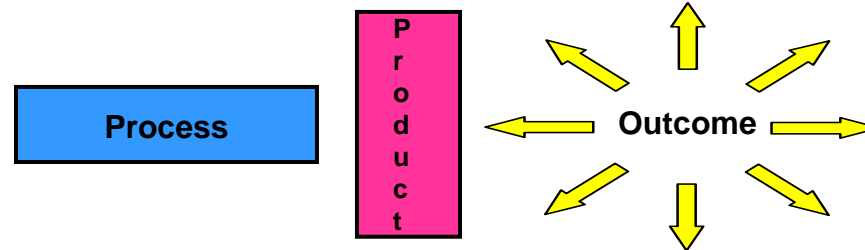
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# Creating Measures (Examples)



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R&R Process	Role Definition	R&R Process Outcome
<p>A satisfying process is:</p> <ul style="list-style-type: none"> <li>• Efficient</li> <li>• User friendly</li> <li>• Trusted</li> </ul>	<p>A satisfying Role Definition is:</p> <ul style="list-style-type: none"> <li>• Complete</li> <li>• Accurate</li> <li>• Understood</li> </ul>	<p>A satisfying process results in:</p> <ul style="list-style-type: none"> <li>• Governance</li> <li>• Accessible information</li> <li>• Clear communication</li> </ul>
<ul style="list-style-type: none"> <li>• Efficient process                             <ul style="list-style-type: none"> <li>– # of exceptions</li> <li>– Time to take a new role through the process</li> <li>– # of “reworks”</li> </ul> </li> <li>• User friendly                             <ul style="list-style-type: none"> <li>– # of people using the system</li> </ul> </li> <li>• Trusted                             <ul style="list-style-type: none"> <li>– # of new roles taken through the process</li> <li>– # of other systems supplying data</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Complete                             <ul style="list-style-type: none"> <li>– # of changes to a Role Definition</li> </ul> </li> <li>• Accurate                             <ul style="list-style-type: none"> <li>– # of inaccurate data points</li> <li>– Age of inaccurate data</li> </ul> </li> <li>• Understood                             <ul style="list-style-type: none"> <li>– # of calls (and categories) to Helpdesk Tier 1</li> <li>– # of calls (and categories) to Helpdesk Tier 2 (indicates more serious problem or issue)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Governance                             <ul style="list-style-type: none"> <li>– # of new roles taken through the process</li> </ul> </li> <li>• Accessible information                             <ul style="list-style-type: none"> <li>– # of queries and reports to derive wanted information</li> <li>– # of other systems accessing data</li> </ul> </li> <li>• Clear communication                             <ul style="list-style-type: none"> <li>– Satisfaction level with process and communication</li> </ul> </li> </ul>

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# Next steps...

- Establish Governance Board (Initial board [lower tier board for ES&H] identified by October 1, 2006)
- Evaluate if this process would be impacted or need to be integrated into the Contractor Assurance System (CAS)
- Test the process on new ES&H Related Roles which have been requested
- Detailed application and interface specifications
- Application development and testing
- Data migration plan
- Pilot testing for new Role data
- Full production, role out, marketing, and communication
- Metric evaluation and feedback and improvement

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# Lessons Learned

- As part of process development, it is critical to separate the idea of the tool used for implementation from the development of the actual business process. A good process facilitator is worth their weight in gold.
- In large organizations where the idea of governance is perceived as “new,” you need to start small and show tangible results (i.e., start with a smaller, more focused area of governance and let the momentum build)
- Continue to remind your customers that it takes time for the process to take root and gain larger acceptance. “Rome was not built in a day.”
- Manage customers’ expectations for tools that will help implement the new process. If there is a strong need, people want a solution – including the tools – ASAP. Remember, it’s most important to get the process right first. The tools will then provide the underlying support and mechanisms to monitor and maintain the health of the process.

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# Thank You

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